

FORM PTO-1390 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

235.00210101

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/030,330

INTERNATIONAL APPLICATION NO.  
PCT/US00/10574INTERNATIONAL FILING DATE  
20 April 2000 (20.04.00)PRIORITY DATE CLAIMED  
21 April 1999 (21.04.99)

TITLE OF INVENTION

**A POLYPEPTIDE HAVING AMIDOLYTIC ACTIVITY FOR A SERPIN**

APPLICANT(S) FOR DO/EO/US

**Travis et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 20 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

**Copy of Notification of Missing Requirement (2 pgs.); Response to Notification of Missing Requirements (1 pg.); copies of three executed Declarations previously filed (4 pgs. each); Supplemental Application Data Sheet (5 pgs.); Itemized Return-Stamped Postcard; and Transmittal Letter (in triplicate).**

**RECEIVED**  
JUN 03 2002  
TECH CENTER 1600/2900

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR <b>10/030,330</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US00/10574</b>		ATTORNEY'S DOCKET NUMBER <b>235.00210101</b>	
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24. The following fees are submitted:

**BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :**

☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... **\$1040.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... **\$890.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$740.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$710.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	- 20 =	0	x	\$18.00		<b>\$0.00</b>
Independent claims	- 3 =	0	x	\$84.00		<b>\$0.00</b>
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>						<b>\$0.00</b>
<b>TOTAL OF ABOVE CALCULATIONS =</b>						<b>\$0.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.						<b>\$0.00</b>
<b>SUBTOTAL =</b>						<b>\$0.00</b>
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).						<b>\$0.00</b>
<b>TOTAL NATIONAL FEE =</b>						<b>\$0.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>						<b>\$0.00</b>
<b>TOTAL FEES ENCLOSED =</b>						<b>\$0.00</b>
					Amount to be: refunded	\$
					charged	\$

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JUN 03 2002

TECH CENTER 1600/

a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **13-4895** A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**David L. Provence**  
**Muetting, Raasch & Gebhardt, P.A.**  
**P.O. Box 581415**  
**Minneapolis, Minnesota 55458-1415**  
**United States of America**

\_\_\_\_\_  
 SIGNATURE

**David L. Provence**  
 \_\_\_\_\_  
 NAME

**43,022**  
 \_\_\_\_\_  
 REGISTRATION NUMBER

**22 May 2002**  
 \_\_\_\_\_  
 DATE

**JG14 Rec'd PCT/PTO 22 MAY 2002**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Travis et al.

Group Art Unit: Unknown

Serial No.: 10/030,330

Examiner: Unknown

Filed: October 19, 2001

Docket No.: 235.00210101 JUN 03 2002

Title: A POLYPEPTIDE HAVING AMIDOLYTIC ACTIVITY FOR A SERPIN

TECH CENTER 1600/2900

Assistant Commissioner for Patents  
 Attn: Box PCT  
 Washington, D.C. 20231

We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ **Small entity status is entitled to be asserted in the above-identified application.**  
☒ An itemized return postcard.  
☐ A Petition for Extension of Time for \_\_ month(s) and a check in the amount of \$\_\_ for the required fee.  
☐ A check in the amount of \$\_\_, representing \_\_.  
☒ Other: Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (2 pgs.); Exhibit A (Three executed Declarations (4 pgs. each)); Response to Notification of Missing Requirements Under 35 U.S.C. §371 (/ pgs.); copy of Notification of Missing Requirements Under 35 U.S.C. §371 in the U.S. Designated/Elected Office (DO/EO/US) (2 pgs.); Supplemental Application Data Sheet (5 pgs.)  
 Amendment ☐ No Additional fee is required. ☐ The fee has been calculated as shown:

Fee Calculation for Claims Pending After Amendment					
	Pending Claims after Amendment (1)	Claims Paid for Earlier (2)	Number of Additional Claims (1-2)	Cost per Additional Claim	Additional Fees Required
Total Claims				x \$9 =	
Independent Claims				x \$42 =	
One or More New Multiple Dependent Claims Presented? If Yes, Add \$140 Here →					
Total Additional Claim Fees Required					

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

MUETING, RAASCH & GEBHARDT, P.A.  
 Customer Number: 26813

By: David L. Provence  
 Name: David L. Provence  
 Reg. No.: 43,022  
 Direct Dial: 612-305-1005  
 Facsimile: 612-305-1228

**CERTIFICATE UNDER 37 CFR §1.10:**

"Express Mail" mailing label number: 22 May 2002

Date of Deposit: EL888273119US

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Attn: Box PCT, Washington, D.C. 20231.

By: SAM HER  
 Name: SAM HER

(SMALL ENTITY TRANSMITTAL UNDER RULE 1.10)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): James Travis, et al. ) Group Art No.: Unknown  
Serial No.: 10/030,330 ) Examiner: Unknown  
Filed: October 19, 2001 )  
(Int'l. Filing Date: April 20, 2000) )  
For: A POLYPEPTIDE HAVING AMIDOLYTIC ACTIVITY FOR A SERPIN

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JUN 03 2002

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RESPONSE TO NOTIFICATION OF MISSING PARTS UNDER 37 U.S.C. §371

Assistant Commissioner for Patents  
Attn: Box PCT  
Washington, D.C. 20231  
Sir:

In response to the "Notification of Missing Requirements Under 35 U.S.C. §371 in the United States Designated/Elected Office (DO/EO/US)," the Office is requested to note that on October 22, 2001, Applicants submitted three executed Declarations by the named inventors, copies of which are enclosed herewith as Exhibit A.

Please charge Deposit Account No. 13-4895 if any additional fees or credit over payment is necessary. The application should now be in condition for examination. Please direct any inquiries to attorney David Provence at (612) 305-1005.

CERTIFICATE UNDER 37 C.F.R. 1.10:

The undersigned hereby certifies that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Attn: Box PCT, Washington, D.C. 20231.



SAM HER

"Express Mail" mailing label number:  
EL888273119US  
Date of Deposit: 22 May 2002

Respectfully submitted for

The University of Georgia Research Foundation,  
Inc.

By

Muetting, Raasch & Gebhardt, P.A.

P.O. Box 581415

Minneapolis, MN 55458-1415

Telephone (612)305-1220

Facsimile (612)305-1228

Customer Number 26813



26813

PATENT TRADEMARK OFFICE

By:



David L. Provence

Reg. No. 43,022

Direct Dial (612)305-1005

May 22, 2002  
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box P-1  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/030,330	James Travis	235.00210101

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APR 01 2002

David L Provence  
 Mueeting Raasch & Gebhardt  
 PO Box 581415  
 Minneapolis, MN 55458-1415

MUETING &amp; RAASCH

5-22-02 MR  
 9-22-02 MR Final Fee

INTERNATIONAL APPLICATION NO.	
PCT/US00/10574	
I.A. FILING DATE	PRIORITY DATE
04/20/2000	04/21/1999

CONFIRMATION NO. 4105

371 FORMALITIES LETTER



\*OC000000007665918\*

Date Mailed: 03/22/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination
- Small Entity Statement

RECEIVED  
 JUN 03 2002  
 TECH CENTER 1600/2900

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 r 32 MONTHS (wh re 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHRISTINE S WASHINGTON

Telephone: (703) 305-3752

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/030,330	PCT/US00/10574	235.00210101

FORM PCT/DO/EO/905 (371 Formalities Notice)